

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kathleen M. Amm et al.

: Group Art Unit:

Serial No.:

: Examiner:

Filed:

:

For: MULTIPLE RING POLEFACELESS  
PERMANENT MAGNET AND METHOD  
OF MAKING

## INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37 CFR 1.97 (b)**  
[within 3 months of national, non-CPA filing or prior to 1<sup>st</sup> Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

Date of Deposit

Type or Print Name

Signature

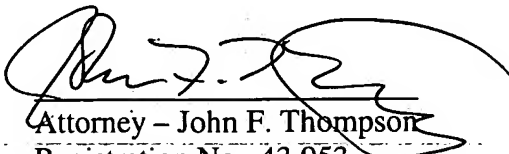
This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1<sup>st</sup> Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR §1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868.

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

September 24, 2003  
Date

  
Attorney – John F. Thompson  
Registration No. 43,953  
Phone: (518) 387-6275  
or (518) 387-7122

General Electric Company  
Patent Docket Rm 4A59  
P.O. Box 8, Bldg. K-1 – Ross  
Schenectady, New York 12301  
Customer Number: 006147

FORM PTO-1449  
(REV. 7-80)  
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

133671

SERIAL NO.

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT--

## LIST OF ITEMS

(Use several sheets if necessary)

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA 6 5 2 5 6 3 4	02/25/03	Laskaris			
	AB 6 5 1 8 8 6 7	02/11/03	Laskaris			
	AC 6 5 1 8 7 5 4	02/11/03	Edwards			
	AD 6 4 8 9 8 7 3	12/03/02	Kruip			
	AE 6 4 8 9 8 7 2	12/03/02	Fukushima			
	AF 6 4 6 7 1 5 7	10/22/02	Livni			
	AG 6 4 5 2 4 7 2	09/17/02	Aoki			
	AH 6 4 4 8 7 7 2	09/10/02	Aoki			
	AI 6 4 2 9 7 6 1	08/06/02	Laskaris			
	AJ 6 3 3 3 6 3 0	12/25/01	Holsinger			
	AK 6 3 1 1 3 8 3	11/06/01	Umeda			

### FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	No
	AL 0 3 1 7 0 6 4 3	07/1991	Japan				
	AM 0 2 1 4 1 5 0 1	05/1990	Japan				
	AN 6 2 3 9 3 9	11/09/94	European Patent Application				
	AO 1 0 1 7 4 6 8 1	06/1998	Japan				
	AP 0 0 4 8 2 0 8	08/17/00	PCT APPLICATION				

### OTHER INFORMATION (Including Author, Title, Date, Pertinent pages, Etc.)

AR	Abstract of Japan 2002-536,842
AS	"Electrical Engineering Concepts and Applications," A. Bruce Carlson et al., Addison-Wesley Publishing Co., 1990, pp. 119-121.
AT	"Magnetic Materials and Their Properties," E.A. Brandes et al., Smithells Metal Reference Book, Butterworth-Heinemann Ltd., 1992, p. 20-6.

EXAMINER

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	BA	4	8	2	7	2	3	5	05/02/89	Inomata			
	BB	6	2	8	1	7	7	5	08/28/01	Rapoport			
	BC	6	2	7	5	1	2	8	08/14/01	Aoki			
	BD	6	2	5	9	2	5	2	07/10/01	Laskaris			
	BE	6	2	5	5	6	7	0	07/03/01	Srivastava			
	BF	6	1	9	8	2	8	6	03/06/02	Trequattrini			
	BG	3	8	9	9	7	6	2	08/12/75	Studders			
	BH	5	3	4	3	1	8	0	08/30/94	Fukumoto			
	BI	5	2	5	2	9	2	4	10/12/93	Sakurai			
	BJ	6	1	9	1	5	8	4	02/20/01	Trequattrini			
	BK	6	1	5	0	9	1	1	11/21/00	Katznelson			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
														YES	No
	BL	0	3	7	1	7	7	5	03/27/96	European Patent Application					
	BM	0	5	4	1	8	7	2	01/26/00	European Patent Application					
	BN	5	2	6	5	1	3		07/24/96	European Patent Application					
	BO	0	5	4	1	6	5	3	05/04/94	European Patent Application					
	BP														

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

	BR	"Permanent Magnet Assembly and Method of Making Thereof," Laskaris et al., Serial No. 10/309,146 (GE docket RD-28500-4), filed 12/04/02.
	BS	"Permanent Magnet Assembly and Method of Making Thereof," Laskaris et al., Serial No. 10/309,139 (GE docket RD-28500-5), filed 12/04/02.
	BT	"Permanent Magnet Assembly with Movable Permanent Body for Main Magnetic Field Adjustment," Huang et al., GE docket 134199.

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	CA	6	1	5	7	2	8	1	12/05/00	Katznelson			
	CB	6	1	6	3	2	4	0	12/19/00	Zuk			
	CC	6	1	2	0	6	2	0	09/19/00	Benz			
	CD	5	2	8	3	5	4	4	02/01/94	Sakurai			
	CE	4	8	1	8	9	6	6	04/04/89	Miyamoto			
	CF	5	3	1	7	2	9	7	05/31/94	Kaufman			
	CG	4	5	4	0	4	5	3	09/10/85	Boredelon			
	CH	5	3	8	3	9	7	8	01/24/95	Yamamoto			
	CI	4	4	9	6	3	9	5	01/29/85	Croat			
	CJ	5	6	8	0	0	8	6	10/21/97	Allis			
	CK	5	6	3	1	6	1	6	05/20/97	Ohta			

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														YES	No
	CL														
	CM														
	CN														
	CO														
	CP														

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	CR	
	CS	
	CT	

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	DA 6 1 5 7 2 8 1	12/05/00	Katznelson			
	DB 6 1 4 7 5 7 8	11/14/00	Panfil			
	DC 6 1 3 0 5 3 8	10/10/00	Carrozzi			
	DD 5 9 4 2 9 6 2	08/24/99	Gery			
	DE 5 8 2 5 1 8 7	10/20/98	Ohashi			
	DF 5 6 2 3 2 4 1	04/22/97	Minkoff			
	DG 5 4 6 2 0 5 4	10/31/95	Rapoport			
	DH 5 3 3 2 9 7 1	07/26/94	Aubert			
	DI 5 3 2 0 1 0 3	06/14/94	Rapoport			
	DJ 5 2 9 1 1 7 1	03/01/94	Kobayashi			
	DK 5 2 2 9 7 2 3	07/20/93	Sakurai			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	No
	DL							
	DM							
	DN							
	DO							
	DP							

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	DR	
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	DT	

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	EA	5	0	6	3	9	3	4	11/12/91	Rapoport			
	EB	4	9	9	8	9	7	6	03/12/91	Rapoport			
	EC	4	9	5	3	5	5	5	09/04/90	Leupold			
	ED	4	9	3	1	7	6	0	06/05/90	Yamaguchi			
	EE	4	7	7	7	4	6	4	10/11/88	Takabatashi			
	EF	4	7	4	1	0	9	4	05/03/88	Denk			
	EG	4	6	7	9	0	2	2	07/07/87	Miyamoto			
	EH	4	6	7	2	3	4	6	06/09/87	Miyamoto			
	EI	4	6	6	7	1	2	3	05/19/87	Denk			
	EJ	2	0	0	2				05/02/02	Zuk			
	EK	2	0	0	3				01/16/03	Katznelson			
		0	0	1	1	4	5	1					

FOREIGN PATENT DOCUMENTS

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														YES	No
	EL														
	EM														
	EN														
	EO														
	EP														

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	ES	
	ET	

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FA	2 0 0 2 1 1 2 9	02/21/02	Laskaris			
FB	6 1 6 3 2 4 0	12/19/00	Zuk			
FC						
FD						
FE						
FF						
FG						
FH						
FI						
FJ						
FK						

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FL							
FM							
FN							
FO							
FP							

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